UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/617,909	07/11/2003	Richard Mousseau	BEAS-01076US1	4228

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EXAMINER
CAO, DIEM K

ART UNIT	PAPER NUMBER
2194	

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	04/10/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

PTOL-90A (Rev. 10/06)

	Application No.	Applicant(s)
Office Action Summary	10/617,909	MOUSSEAU ET AL.
	Examiner	Art Unit
	Diem K. Cao	2194

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1) ☒ Responsive to communication(s) filed on <u>11 July 2003</u>.
2a) ☐ This action is **FINAL**.   2b) ☒ This action is non-final.
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) <u>1-36</u> is/are pending in the application.
    4a) Of the above claim(s) _____ is/are withdrawn from consideration.
5) ☐ Claim(s) _____ is/are allowed.
6) ☒ Claim(s) <u>1-36</u> is/are rejected.
7) ☐ Claim(s) _____ is/are objected to.
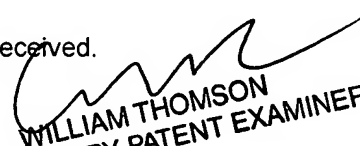8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9) ☐ The specification is objected to by the Examiner.
10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
    a) ☐ All   b) ☐ Some *   c) ☐ None of:
      1. ☐ Certified copies of the priority documents have been received.
      2. ☐ Certified copies of the priority documents have been received in Application No. _____.
      3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
    * See the attached detailed Office action for a list of the certified copies not received.

WILLIAM THOMSON
SUPERVISORY PATENT EXAMINER

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☒ Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date *See Continuation Sheet.*
4) ☐ Interview Summary (PTO-413) Paper No(s)/Mail Date. _____.
5) ☐ Notice of Informal Patent Application
6) ☐ Other: _____.

DETAILED ACTION

1.   Claims 1-36 are presented for examination.

Claim Rejections - 35 USC § 102

2.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the

basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

3.   Claims 1-15, 26, 30 and 31 are rejected under 35 U.S.C. 102(b) as being anticipated

by Rana et al. (Java Function).

As to claim 1, Rana teaches a system for improved implementation of J2EE connector

architecture on an application server, comprising:

- a resource adapter for an Enterprise Information System (resource adapter; page 4,

paragraph 3),

- a set of system-level contracts between the resource adapter and an application server

(System contracts; page 4, paragraphs 2-6),

- a Common Client Interface capable of providing a client API for Java applications and

development tools to access the resource adapter (Common Client Interface; page 6, section

"Common Client Interface"), and

- a set of packaging and development interfaces that provide the ability for resource

adapters to plug into J2EE applications in a modular manner (Deployment and packaging

protocol; page 6, section "Deployment and packaging protocol", and section "Development with

J2EE Connectors").

As to claim 2, Rana teaches the set of system-level contracts comprises a contract for at

least one of connection management, transaction management, and security management (The

J2EE .. security; page 4, paragraph 6).

As to claim 3, Rana teaches the set of packaging and development interfaces supports any

resource adapter capable of being deployed in an application server supporting the J2EE

Platform Specification (The system contract ... different EISs; page 4, paragraphs 3-5).

As to claim 4, Rana teaches the set of system-level contracts includes a contract for

connection management that provides the application server with a plurality of pool connections

to underlying Enterprises Information Systems (connection management, managing a pool of

connection; page 4, paragraphs 6-7).

As to claim 5, Rana teaches an application component on the application server

(Application Component; Fig. 2), wherein the set of system-level contracts includes a contract

for connection management that allows the application component to connect to an Enterprise

Information System, and whereby the contract for connection management provides the

application server with a scalable application environment that can support a large number of

clients requiring access to Enterprise Information Systems (The J2EE connector ... security;

page 4, paragraph 6-7).

As to claim 6, Rana teaches a transaction manager on the application server (transaction service; page 5, paragraph 4), wherein the set of system-level contracts includes a contract for transaction management between the transaction manager and the Enterprises Information System capable of supporting transaction access to resource managers for the Enterprises Information Systems (The J2EE ...security; page 4, paragraph 6 and page 5, paragraph 3).

As to claim 7, Rana teaches the transaction management contract allows the application server to use the transaction manager to manage transactions across multiple resource managers (The transaction management ... rolled back; page 7, paragraphs 3-4).

As to claim 8, Rana teaches the Common Client Interface is capable of enabling applications running on the application server to do tasks selected from the group consisting of: creating and managing connections to an Enterprise Information System, executing an interaction, and managing data records as input, output, or return values (page 4, paragraphs 6-7, page 6, section "Common Client Interface").

As to claim 9, Rana teaches the set of packaging and development interfaces are adapted to allow resources adapters to plug into a compliant J2EE application server in a modular manner (the system contracts ... connector; page 4, paragraph 3 and page 6, section "Deployment and packaging protocol").

As to claim 10, Rana teaches the resource adapter includes Java classes that implement J2EE Connector Architecture-specified contracts and Enterprises Information System specific functionality (A resource adapter ... of the resource adapter; page 6, section "Deployment and packaging protocol").

As to claim 11, Rana teaches the resource adapter further includes native libraries specific to the underlying Enterprise Information System (platform-dependent native libraries; page 6, section "Deployment and packaging protocol").

As to claim 12, Rana teaches a resource adapter module containing the resource adapter (RAR file; page 6, section Deployment and packaging protocol).

As to claim 13, Rana teaches a deployment descriptor in the resource adapter module, the deployment descriptor for use in deploying the resource adapter on the application server (The RAR file ... operational environment; page 6, section "Deployment and packaging protocol").

As to claim 14, Rana teaches the deployment descriptor is specific to the application server and defines operational parameters unique to the application server (The deployment descriptor ... declarative information needed for configuring the adapter to the target operation environment; page 6, section "Deployment and packaging protocol").

As to claim 15, Rana teaches the resource adapter is capable of being deployed

dynamically on the application server (plug into the application servers, resource adapter; page 4,

paragraph 3).

As to claim 26, Rana teaches an external transaction manager on the application server

(transaction manager accessible through the application server) capable of using a two-phase

commit protocol to manage a transaction that spans one of multiple resource managers and

multiple Enterprise Information Systems (performs a tow-phase-commit protocol ... rolled back;

page 5, paragraphs 3-4).

As to claim 30, Rana teaches a connection manager on the application server capable of

managing and maintaining the size of the pool of connections to an Enterprise Information

System (The connection manager ... responsibility of managing a pool of such connections

...application server; page 4, paragraph 7).

As to claim 31, Rana teaches the connection manager tries to match a request for a new

connection to an Enterprise Information System, through the resource adapter, with an existing

and available managed connection in the pool of connections (Application components request

connections to an EIS through a resource adapter, the resource adapter delegate all such requests

to the application server ... lookup ... connection ... finds a marching connection in the pool;

page 4, paragraph 7).

Claim Rejections - 35 USC § 103

4.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

5.   **Claims 16-25, 27-29 and 32-36 are rejected under 35 U.S.C. 103(a) as being unpatentable over Rana (Java Functions) in view of Bea System (WebLogic Server 6.1).**

As to claim 16, Rana does not teach a deployment component adapted to automatically detect and deploy a resource adapter on the application server. Bea System teaches a deployment component adapted to automatically detect and deploy a resource adapter on the application server (The application directory is monitored during runtime of the WebLogic server and detects if a new .rar is added (causing deployment); chapter "Resource Adapter Deployment", page 3, section Using the Applications Directory). It would have been obvious to one of ordinary skill in the art at the time the invention was made to apply the teaching of Bea System to the system of Rana because Bea System teaches a method to deploy a resource adapter automatically while the application server is running, and avoid the problem of stopping the application server (chapter "Resource Adapter Deployment", page 3, section Using the Applications Directory).

As to claim 17, Rana does not teach the resource adapter further provides support for error logging and tracing. However, Bea System teaches teach the resource adapter further provides support for error logging and tracing (A resource adapter is required ... getLogWriter;

chapter "Writing J2EE Connector Architecture – Compliant Resource Adapter", page 2, lines 1-4).

As to claim 18, Rana does not teach a deployment descriptor containing a logging-enabled element capable of indicating whether the logging is enabled, as well as a log-filename element capable of specifying the name of the file in which to write the logging information. However, Bea System teaches a deployment descriptor containing a logging-enabled element capable of indicating whether the logging is enabled, as well as a log-filename element capable of specifying the name of the file in which to write the logging information (Flag to indicate ... ManagedConnection; chapter "Configuration", page 9, lines 8-9).

As to claim 19, Rana does not teach a connection manager for enabling the resource adapter to provide services specific to the resource adapter, the services being selected from the group consisting of connection pooling, error logging and tracing, and security management. However, Bea System teaches a connection manager for enabling the resource adapter to provide services specific to the resource adapter, the services being selected from the group consisting of connection pooling, error logging and tracing, and security management (chapter "Configuration", pages 8-9, section "Configuring weblogic-ra.xml Entities").

As to claim 20, Rana teaches the connection manager can create physical connections to the underlying Enterprise Information System (The connection manager ... to an EIS; page 4, paragraph 7).

As to claim 21, Rana does not explicitly teach the resource adapter is capable of having

more than one connection manager instance per physical connection. However, Bea System

teaches the resource adapter is capable of having more than one connection manager instance per

physical connection (a resource adapter may ... and components; chapter "Writing J2EE

Connector Architecture – Compliant Resource Adapter", page 2, paragraph 6).

As to claim 22, Rana does not explicitly teach a deployment descriptor specific to the

resource adapter allowing the resource adapter to be linked to a second resource adapter, the

resource adapter capable of sharing resources with the second resource adapter, thereby

preventing the duplication of resources and only requiring the resource adapter to modify a

subset of resource adapter attributes. However, Bea System teaches deployment descriptor

specific to the resource adapter allowing the resource adapter to be linked to a second resource

adapter, the resource adapter capable of sharing resources with the second resource adapter,

thereby preventing the duplication of resources and only requiring the resource adapter to modify

a subset of resource adapter attributes (chapter "Overview of the WebLogic J2EE Connector

Architecture", page 6, paragraph 3 and chapter Configuration, page 5, section "Configuring the

ra-link-ref Element").

As to claim 23, Rana teaches a deployment descriptor for the resource adapter

(Deployment descriptor; page 6, section "Deployment and packaging protocol"), wherein the set

of system-level contracts includes a connection management contract (page 4, paragraph 6).

Rana does not teach the deployment descriptor contains connection pool parameters

capable of setting parameters selected from the group consisting of: the initial number of

managed connections the application server attempts to allocate at deployment time, the

maximum number of managed connections the application server allows to be allocated at any

one time, the number of managed connections the application server attempts to allocate when

filling a request for a new connection, whether the application server attempts to reclaim unused

managed connections to save system resources, the time the application server waits between

attempts to reclaim unused managed connections, the frequency of time to detect and reclaim

connections hat have exceeded their usage time, and the amount of usage time allowed for a

connection. Bea System teaches the deployment descriptor contains connection pool parameters

capable of setting parameters selected from the group consisting of: the initial number of

managed connections the application server attempts to allocate at deployment time, the

maximum number of managed connections the application server allows to be allocated at any

one time, the number of managed connections the application server attempts to allocate when

filling a request for a new connection, whether the application server attempts to reclaim unused

managed connections to save system resources, the time the application server waits between

attempts to reclaim unused managed connections, the frequency of time to detect and reclaim

connections hat have exceeded their usage time, and the amount of usage time allowed for a

connection (chapter Configuration, page 5, Listing 2-1 weblogic-ra.xml default values and pages

8-9, section "Configurable weblogic-ra.xml Entities").

As to claim 24, Rana teaches a deployment descriptor for the resource adapter

(deployment descriptor; page 6, section "Deployment and packaging protocol"). Rana does not

teach the deployment descriptor containing an initiating principal mapping, the mapping capable

of being used at deployment time if connection pool parameters indicate that the application

server should initialize connections. However, Bea System teaches the deployment descriptor

containing an initiating principal mapping, the mapping capable of being used at deployment

time if connection pool parameters indicate that the application server should initialize

connections (chapter "Configuration", page 9, section "Configuring the Security Principal

Map").

As to claim 25, Bea System teaches a security principal map for each deployed resource

adapter, the map providing a mechanism to define appropriate resource principal values for

resource adapter and Enterprise Information sign-on processing (chapter "Security", page 2,

section "Security Principal Map").

As to claim 32, Rana teaches the connection manager is further adapted to create a

managed connection when an existing and available managed connection is not found (create a

new physical link to the underlying EIS; page 4, paragraph 7). Rana does not teach create a

plurality of managed connections. However, Bea System teaches creating a plurality of managed

connections (<capacity-increment>; chapter Configuration, page 4, Listing 2-1).

As to claim 33, Rana as modified by Bea System teach the connection manager is further

adapted to create each of the plurality of managed connections using the initiating principal and

client request information contained in the request for a new connection (see Rana, page 4, paragraph 7 and Bea System, chapter Configuration, page 5, Listing 2-1 weblogic-ra.xml default values and pages 8-9, section "Configurable weblogic-ra.xml Entities").

As to claim 34, Rana as modified by Bea System teaches the connection manager is further adapted to attempt to recycle a managed connection from the connection pool if a maximum number of connections are created (see Bea System, chapter "Configuration", page 8, section "Configurable weblogic-ra.xml Entities").

As to claim 35, Rana as modified by Bea System teaches the connection manager is further adapted to monitor the activity of managed connections in the connection pool during the deployment of a resource adapter, the connection manager being capable of reducing the size of the connection pool if connection usage decreases and remains at the decreased level over a period of time (see Bea System, chapter Configuration, page 5, Listing 2-1 weblogic-ra.xml default values and pages 8-9, section "Configurable weblogic-ra.xml Entities").

As to claim 36, Rana as modified by Bea System teaches the connection manager is further adapted to automatically close a managed connection that has exhausted its usage time (see Bea System, reclaim unused managed connections to save system resource; chapter Configuration, page 5, Listing 2-1 weblogic-ra.xml default values and pages 8-9, section "Configurable weblogic-ra.xml Entities").

Conclusion

6.   The prior art made of record and not relied upon is considered pertinent to applicant's

disclosure. See PTO 892.

Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Diem K. Cao whose telephone number is (571) 272-3760. The

examiner can normally be reached on Monday - Friday, 7:30AM - 3:30PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, William Thomson can be reached on (571) 272-3718. The fax phone number for the

organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent

Application Information Retrieval (PAIR) system. Status information for published applications

may be obtained from either Private PAIR or Public PAIR. Status information for unpublished

applications is available through Private PAIR only. For more information about the PAIR

system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR

system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would

like assistance from a USPTO Customer Service Representative or access to the automated

information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

DC
March 28, 2007

WILLIAM THOMSON
SUPERVISORY PATENT EXAMINER

Requirement For Information - 37 C.F.R. § 1.105

Applicant and Assignee of this application are required under 37 C.F.R. 1.105 to provide the following that the Examiner has determined is reasonably necessary to the examination of this application.

This request is made in view of the prosecution history in determining whether certain references and commercial products constitute prior art against specific claims. Examiner contends that the commercial products representing WebLogic Server 6.1 may still constitute prior art.

To make the record clear the examiner is requiring specific information that may be used to delineate the invention and the commercially available products in the WebLogic Server 6.1 (or earlier version with J2EE Connector).

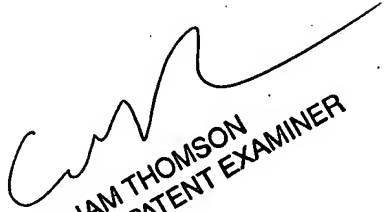In response to this requirement, please provide:

- The publication date or date of sale of supportive documentary evidence, such as manuals, articles and/or program code by applicant, or assignee, that may qualify as printed publication prior art or on sale bar (35 U.S.C. 102(a) or (b)) specific to the WebLogic Server 6.1, or earlier version with J2EE implementation.

- Copies or originals of manuals covering versions WebLogic Server 6.1, or earlier version with J2EE implementation.

The fee and certification requirements of 37 C.F.R. 1.97 are waived for those documents submitted in reply to this requirement. This waiver extends only to those documents within the

scope of this requirement under 37 C.F.R. 1.105 that are included in the applicant's first complete communication responding to this requirement. Any supplemental replies subsequent to the first communication responding to this requirement and any information disclosures beyond the scope of this requirement under 37 C.F.R. 1.105 are subject to the fee and certification requirements of 37 C.F.R. 1.97.

This requirement is subject to the provisions of 37 C.F.R. 1.134, 1.135 and 1.136 and has a shortened statutory period of **3** months. EXTENSIONS OF THIS TIME PERIOD MAY BE GRANTED UNDER 37 C.F.R. 1.136(a).

WILLIAM THOMSON
SUPERVISORY PATENT EXAMINER

Continuation of Attachment(s) 3). Information Disclosure Statement(s) (PTO/SB/08), Paper No(s)/Mail Date :12/4/03,4/26/04,6/21/06,2/14/07.